

08/04/00

jc694 U.S. PTO

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PTO/SB/05 (12/97)

Approved for use through 09/30/00. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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09/631898

08/04/00

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 005129.P001

Total Pages 2

First Named Inventor or Application Identifier David J. Wetherall et al.

Express Mail Label No. EL431686806US

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, D. C. 20231

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification (Total Pages 29)
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claims
 - Abstract of the Disclosure
3. ☒ Drawings(s) (35 USC 113) (Total Sheets 10)
4. ☒ Oath or Declaration (Total Pages 6)
 - a. ☒ Newly Executed (Original or Copy)
 - b. ☐ Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 17 completed) (Note Box 5 below)
 - i. ☐ DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)

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(if applicable, all necessary)

- a. ☐ Computer Readable Copy
b. ☐ Paper Copy (identical to computer copy)
c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & documents(s))
9. ☐ a. 37 CFR 3.73(b) Statement (where there is an assignee)
☒ b. Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ a. Information Disclosure Statement (IDS)/PTO-1449
☐ b. Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
14. ☒ a. Small Entity Statement(s)
☐ b. Statement filed in prior application, Status still proper and desired
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☒ Other: separate sheet with title, express mail label, copy of postcard and attorney's
signature

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)
of prior application No:

18. Correspondence Address

☐ Customer Number or Bar Code Label
(Insert Customer No. or Attach Bar Code Label here)
or

☒ Correspondence Address Below

NAME Aloysius T.C. AuYeung
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard
Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026
Country U.S.A. TELEPHONE (425) 827-8600 FAX (425) 827-5644

Express Mail Label: EL431686806US

FEE TRANSMITTAL FOR FY 2000**TOTAL AMOUNT OF PAYMENT (\$)** \$634.00**Complete if Known:****Application No.** Not Yet Assigned**Filing Date** Herewith**First Named Inventor** David J. Wetherall et al.**Group Art Unit** _____**Examiner Name** _____**Attorney Docket No.** 005129.P001**METHOD OF PAYMENT (check one)**

1. ☒ **The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:**

Deposit Account Number 02-2666**Deposit Account Name** _____

- ☒ **Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17**

2. ☒ **Payment Enclosed:**

☒ **Check**
☐ **Money Order**
☐ **Other**

FEE CALCULATION**1. BASIC FILING FEE**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Code</u>	<u>Fee (\$)</u>	<u>Code</u>	<u>Fee (\$)</u>		
101	690	201	345	Utility application filing fee	<u>345.00</u>
106	310	206	155	Design application filing fee	_____
107	480	207	240	Plant filing fee	_____
108	690	208	345	Reissue filing fee	_____
114	150	214	75	Provisional application filing fee	_____

SUBTOTAL (1) \$ 345.00**2. EXTRA CLAIM FEES**

			<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
Total Claims	<u>39</u>	- 20** =	<u>19</u>	X <u>9</u>	= <u>171.00</u>
Independent Claims	<u>5</u>	- 3** =	<u>2</u>	X <u>39</u>	= <u>78.00</u>
Multiple Dependent					= _____

****Or number previously paid, if greater; For Reissues, see below.**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	
<u>Code</u>	<u>Fee (\$)</u>	<u>Code</u>	<u>Fee (\$)</u>		
103	18	203	9	Claims in excess of 20	
102	78	202	39	Independent claims in excess of 3	
104	260	204	130	Multiple dependent claim, if not paid	
109	78	209	39	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) \$ 249.00**FEE CALCULATION (continued)**

12/29/99

- 1 -

PTO/SB/17 (6/99)

Patent fees are subject to annual revisions. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid.

See Forms PTO/SB/09-12

3. ADDITIONAL FEES

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	380	216	190	Extension for response within second month	
117	870	217	435	Extension for response within third month	
118	1,360	218	680	Extension for response within fourth month	
128	1,850	228	925	Extension for response within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive unavoidably abandoned application	
141	1,210	241	605	Petition to revive unintentionally abandoned application	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	760	246	380	For filing a submission after final rejection (see 37 CFR 1.129(a))	
149	760	249	380	For each additional invention to be examined (see 37 CFR 1.129(a))	
Other fee (specify) _____					
Other fee (specify) _____					

SUBTOTAL (3) \$ 40.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: Aloysius T.C. AuYeung

Signature  Date 8/4/2000

Reg. Number 35,432 Deposit Account User ID _____ (complete if applicable)

Our Reference: 05129.P001

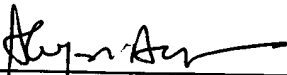
Patent

A DISTRIBUTED SOLUTION FOR REGULATING NETWORK TRAFFIC
Inventors: David J. Wetherall, Thomas E. Anderson, and Stefan R. Savage

jc784 U.S. PTO
09/631898
08/04/00

Respectfully submitted,

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP



Aloysius T.C. AuYeung
Reg. No. 35,432

"Express Mail" mailing label number: EL431686806US
Date of Deposit: August 4, 2000

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

Sharon Farnus

(Typed or printed name of person mailing paper or fee)

 \$4.00
(Signature of person mailing paper or fee) (Date signed)

Serial/Patent No.: new application

Filing/Issue Date: herewith

Client: Asta Networks, Inc.

Title: A DISTRIBUTED SOLUTION FOR REGULATING NETWORK TRAFFIC

BSTZ File No.: 005129.P001

Date Mailed: August 4, 2000

Atty/Secty Initials: ATA:sef

Docket Due Date: _____

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- ☐ Amendment/Response (____ pgs.)
- ☐ Appeal Brief (____ pgs.) (in triplicate)
- ☒ Application - Utility 29 pgs., with cover and abstract
- ☐ Application - Rule 1.53(b) Continuation (____ pgs.)
- ☐ Application - Rule 1.53(b) Divisional (____ pgs.)
- ☐ Application - Rule 1.53(b) CIP (____ pgs.)
- ☐ Application - Rule 1.53(d) CPA Transmittal (____ pgs.)
- ☐ Application - Design (____ pgs.)
- ☐ Application - PCT (____ pgs.)
- ☐ Application - Provisional (____ pgs.)
- ☒ Assignment and Cover Sheet
- ☒ Certificate of Mailing
- ☒ Declaration & POA (6 pgs.)
- ☐ Disclosure Docs & Orig & Copy of Inventor's Signed Letter (____ pgs.)
- ☒ Drawings: 10 # of sheets includes 12 figures

- ☒ Express Mail No.: EL431686806US ☒ Check No. 000724
- ☐ _____ Month(s) Extension of Time Amt: \$634.00
- ☐ Information Disclosure Statement & PTO-1449 (____ pgs.) ☐ Check No. _____
- ☐ Issue Fee Transmittal Amt: _____
- ☐ Notice of Appeal
- ☐ Petition for Extension of Time
- ☐ Petition for _____
- ☒ Postcard
- ☐ Power of Attorney (____ pgs.)
- ☐ Preliminary Amendment (____ pgs.)
- ☐ Reply Brief (____ pgs.)
- ☐ Response to Notice of Missing Parts
- ☒ Small Entity Declaration for Indep. Inventor/Small Business
- ☒ Transmittal Letter, in duplicate
- ☒ Fee Transmittal, in duplicate

☒ Other: Certificate of Mailing with copy of return postcard signed by attorney